

SECRET

USIB-M-424
3 March 1966

3. Committee on Documentation Report
of Task Team II (Item Identification)
USIB-D-39.7/14, 17 January; and
Memorandum to Holders, 7 February)

On 24 February 1966, all USIB members had concurred in the Committee on Document (CODIB) recommendations regarding the report of Task Team II (Item Identification), and the office of the Chairman and the office of the Secretary, CODIB have been so advised.

SECRET

S-E-C-R-E-T

CODIB-D-111/1.2/6
27 December 1965
Final CODIB Approved

UNITED STATES INTELLIGENCE BOARD
COMMITTEE ON DOCUMENTATION

REPORT OF TASK TEAM II (ITEM IDENTIFICATION)

- References: a. USIB-D-39.7/6 (6 May 1964)
b. CODIB-D-111/1.2 series (28 Jul 64 - 20 Aug 65)

A. Background

This is a report on the study undertaken by CODIB's Task Team II (Item Identification) pursuant to USIB direction contained in reference (a). The objective of this Task Team was to plan for a standard inventory and listing of series-type information items of use in the intelligence process, and to consider the problem of standardization of the bibliographic elements common to most of these items. This would facilitate data and file exchange within the Community, aid in on-going inter-system operations, and assist the system designers and system managers in planning and controlling their own operations.

B. Summary of Task Team Findings

1. General

The Task Team II report (attached) notes that the steadily increasing volume of information and intelligence items, both incoming and in files, manifests itself

GROUP I

S-E-C-R-E-T Excluded from automatic

S-E-C-R-E-T

- 2 -

CODIB-D-111/1.2/6

principally in the form of "documents" which, if systematically approached, can be controlled and identified uniquely. These items, in effect, do tie the Community together, but truly useful interchange among Community information systems and avoidance of undesirable duplication in processing, can occur only when we can accurately and definitively describe the scope and content of our systems. This then points to a comprehensive and standardized inventory of information items in circulation or in file in the Community. The Team's conclusions are that a) such an inventory would best be met by the establishment of an Item Register; and b) that further standardization of bibliographic elements should be undertaken after the Register is in being.

2. Item Register

The Item Register System is envisioned as consisting of 1) decentralized input of requisite information by the producers of the item; 2) centralized processing of input information and maintenance of an authoritative item register and descriptive data base; and 3) diversified form, formats and orderings of item information to satisfy a spectrum of users, including catalog-type printouts, special bibliographies, and ad hoc query responses. The report discusses requirements for such a system, its elements of information, codes and other methods of representation, machine requirements, expected outputs from the system, and provides a scheme for implementing the system, together with cost figures.

S-E-C-R-E-T

S-E-C-R-E-T

- 3 -

CODIF-D-111/1.2/6

The elements of information which most nearly meet the criteria for unique identification are listed in both required and desired categories, as follows:

Required

- a. Exact title of the item
- b. Classification of the title
- c. Series designation and control, if any
- d. Producing agency or department, major component thereof and lowest organization level identifiable from the item itself
- e. Range of security classification applied to the item
- f. Dissemination control applied to the item
- g. Item status, i.e., is it currently being produced? If not, inclusive dates of publication
- h. Unique reference number

Desired

- a. Short title of item, if any, and its security classification
- b. Frequency of issuance
- c. Form(s) in which produced
- d. Categorization of item (Substantive; Substantive Support; Non-Substantive - defined in the report)
- e. Remarks

3. Implementation and Community Impact

Implementation would take place incrementally, in the following general steps: 1) detailed design, programming, initial collection of data and initial input to the machine system, plus the production of an initial set of output products; 2) a thorough evaluation of this initial product by the Community; 3) redesign and further collection (if found necessary during evaluation); 4) a continuing phase of maintenance and operation of the system. The report recommends that this

S-E-C-R-E-T

S-E-C-R-E-T

- 4 -

CODIB-D-111/1.2/6

system be implemented by a single agency acting as executive agent, but does not specify which agency should be chosen.

The initial system would control and identify between 5000 - 7000 items at the series level. Preliminary manpower and cost estimates for the system (designing, testing, evaluating and reaching operational capability in about six months) include 28 man-months of analyst and programmer time, 12 man-months of clerical support and 170 machine hours (based on IBM 1401). Once in operation, maintenance of the Item Register, production of periodic products and servicing of ad hoc requests will require an estimated 10 machine hours per month, one-half of one analyst's time and one-fourth of one clerical. Full evaluation by Community users is provided for during the buildup period.

C. CODIB Comment on the Report

In the view of CODIB, the report addresses a fundamental problem that needs to be solved: identification of the information-bearing "documents" which are processed in the Community. CODIB feels that the Task Team has adequately discussed the goals, objectives, alternative solutions, and cost implications. CODIB therefore agrees with the conclusion that an Item Register System should be initiated and evaluated. CODIB further agrees with the Task Team that the executive agent route is the best way to implement this proposal, provided that sufficient continuity and expertise can be obtained.

S-E-C-R-E-T

S-E-C-R-E-T

- 5 -

CODIB-D-111/1.2/6

D. Recommendations

It is recommended that USIB:

1. Note the general findings and conclusions of the Task Team II report.
2. Direct the CIA to undertake the task of implementing and operating an Item Register System as outlined in the report, obtaining such assistance and guidance from the CODIB Support Staff as is appropriate and necessary, and submit the detailed design to CODIB for approval.
3. In addition, direct the CIA to develop item description element standards and recommend them to CODIB together with an implementation plan.
4. Call for quarterly progress reports during the implementation phase, including Community evaluation when appropriate.

25X1A


Chairman

Attachment

S-E-C-R-E-T

Approved For Release 2002/01/15 : CIA-RDP80B01139A000300020010-8

SECRET/NOFORN/CONTROLLED DISSEM

CODIB-D-111/1.2/6
ATTACHMENT

U N I T E D S T A T E S I N T E L L I G E N C E B O A R D

COMMITTEE ON DOCUMENTATION

TASK TEAM II - ITEM IDENTIFICATION

FINAL REPORT

T/II/R-1

13 August 1965

SECRET/NOFORN/CONTROLLED DISSEM

Group 1
Excluded from automatic
downgrading and
declassification.

Approved For Release 2002/01/15 : CIA-RDP80B01139A000300020010-8

SECRET/NOFORN/CONTROLLED DISSEM

T/II/R-1
13 August 1965

UNITED STATES INTELLIGENCE BOARD
COMMITTEE ON DOCUMENTATION

TASK TEAM II - ITEM IDENTIFICATION

MEMORANDUM FOR: Chairman, Committee on Documentation
SUBJECT: Transmittal of Task Team II Report
REFERENCE: CODIB-D-111/1.2/2, 25 November 1964

1. Transmitted herewith is the report of CODIB Task Team II, Item Identification. This report is the result of 22 meetings of the Task Team (beginning on 13 October 1964), a good deal of homework on the part of team members, and staff analytic assistance from the CODIB Support Staff.

2. A list of participating members is attached, indicating extent of participation in meetings. The Team worked together as a group of interested and knowledgeable people and not as representatives of particular agencies or departments. Departmental coordination was expected to take place after the report is submitted to you.

3. CODIB's original charge to the Task Team was a double one: a. develop and publish a standard item list and, b. develop and implement standard item description elements. The Team has responded to "a" by proposing an Item Register System (Recommendation A-B), together with an implementation plan and resource estimates. The Team feels that "b" can best be accomplished during the establishment of an Item Register System and so recommends in this report (Recommendation C).

4. In Recommendation D the Team proposes its own dissolution. The Team will therefore not engage in further activities until CODIB has acted upon that recommendation.

SECRET/NOFORN/CONTROLLED DISSEM

Group 1
Excluded from automatic
downgrading and
declassification.

SECRET/NOFORN/CONTROLLED DISSEM

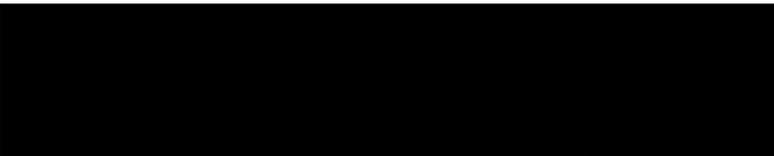
T/II/R-1
13 August 1965

- 2 -

5. The report consists of five sections: a brief summary of conclusions and recommendations (Section I), an introductory section discussing the problem and relating the Team's approach to other possibilities and Task Teams (Section II), a discussion of the basic elements of a proposed solution to the problem (Section III), a proposal for an Item Register System, together with an implementation plan, resource estimates, and consideration of system alternatives (Section IV), and specific recommendations (Section V). In addition, six informative appendices are attached. A special-channels supplement to Appendix 3 and Appendix 4 will be forwarded separately.

6. I would like to take this opportunity to commend to you the fine work done by all concerned, both those on the Team itself (including those assisting from the CODIB Support Staff) and those in the agencies who supported them.

7. I also feel it my duty to give my own impressions of the adequacy of this type of organization to do this type of work. As stated in the Terms of Reference (Referenced above), the overall task was "to prepare gross alternative plans for an operational system, (which) would be difficult to accomplish without some full-time assistance and continuity." The CODIB Support Staff has provided a good deal of this staff-analytic capability, without which the Team report might never have been finished. However, I would like to state here as my personal opinion (not necessarily reflecting the views of the Team) that a part-time ad-hoc group is not the best instrument for system design activities. The use of a committee is most valuable in bringing together diverse backgrounds and experiences to advise, guide and evaluate such activities, but the actual design work is best done by full-time staff personnel.


Chairman, CODIB Task Team II

Attachments:

- a. List of participants in Task Team II work
- b. Task Team II Report

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

T/II/R-1
13 August 1965

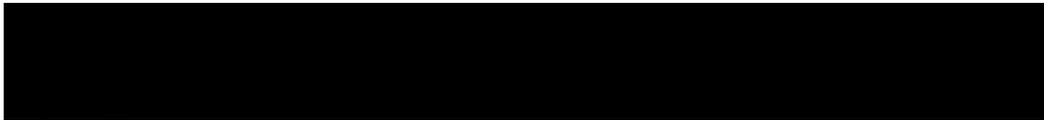
Participation in Task Team II Activities



25X1A

State

- *Mr. Curtis L. Fritz (9 meetings)
- *Mr. Robert F. Whipp (9 meetings)



25X1A

Air Force

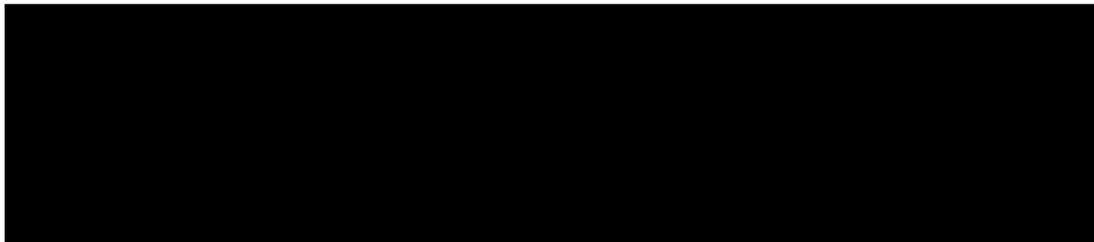
- *Lt. Col. Robert R. McAnaw (all meetings)

Army

- *Mr. Robert D. Baxter (14 meetings)
- Mr. Charles L. Johnson (meeting 6)

Navy

- Mr. D'Armand Dochez (meetings 6 and 7)
- LTJG Glen A. Lillquist (meeting 6)



25X1A

*Participated in a substantial number of meetings and agrees (as an individual) with the substance of this report.

SECRET/NOFORN/CONTROLLED DISSEM

T/II/R-1
13 August 1965

UNITED STATES INTELLIGENCE BOARD
COMMITTEE ON DOCUMENTATION

TASK TEAM II - ITEM IDENTIFICATION

Report

TABLE OF CONTENTS

	Page
I. Summary of Conclusions and Recommendations.....	1
II. Item Control.....	4
III. System Elements.....	10
A. Elements of Information.....	10
1. List of Elements.....	10
2. Unique Reference Number.....	12
3. Categorization.....	13
B. Item Level.....	19
C. Sample Item List.....	21
D. Scope.....	21
IV. System Integration and Alternatives.....	24
A. Item Register System.....	24
B. System Implementation.....	25
C. Resource Estimates.....	27
D. Implementation Alternatives.....	27
E. Alternatives to an Item Register System.....	28
V. Recommendations.....	33

Group 1
SECRET/NOFORN/CONTROLLED DISSEM Excluded from automat.
downgrading and
declassification.

SECRET/NOFORN/CONTROLLED DISSEM

- ii -

Table of Contents (Cont'd)

Appendices

1. CODIB-Approved Terms of Reference for Task Team II
2. SCIPS Survey Coverage
3. Item Identification Control Systems
4. Item Identification Lists
5. Sample Pages of an Item Register List
6. Suggested Input Card Format

SECRET/NOFORN/CONTROLLED DISSEM

I. Summary of Conclusions and Recommendations

Information handling in the Intelligence Community is characterized by large and growing investments, a steady increase in the quantity of information, both incoming and in files, occurrence of more and more fast-reaction requirements and an increased application of intelligence to areas outside the Community itself.

In this dynamic environment, the vast majority of information and intelligence is provided in the form of "documents". Many of these are issued and distributed as series. These documents are received and processed by many organizations and, in a certain sense, tie the Community together. However, in order to take advantage of this aspect, we must be able, in many different processing systems, to identify these items commonly and to call each by the same name. A further requirement is to be able to categorize or classify these items for different end-use purposes, and to be able to refer to the same categories of these items in different information systems. We have used the phrase "item control" to refer to these needs.

The need for item control derives from the need to manage information processing activities (collection, communication, dissemination, storage, retrieval, manipulation), the need to design more effective information processing systems, and the need to communicate effectively between processors, users, system designers and managers. With respect to system design and information-exchange uses, the need is to describe efficiently, simply and accurately the inclusion and exclusion of information content in a given file or information system. Not until we can accurately and definitively describe the scope and content of our information systems can we hope to have more useful interchange between systems. Neither can we usefully identify and eliminate duplication of information processing until we have a means of item identification on a common or comparable basis. Without comprehensive and standardized inventories of information items, users cannot have nor be given assurance that all available information resources have been brought to bear on a given intelligence problem estimate, or analysis.

Before we can solve all the problems involved in linking community systems together through data exchange at the more detailed level of the actual information content of files or items, we need to have gross common handles on the items that flow between organizations. Item control at the series level, addressed by Task Team II, therefore, does not directly provide, but is a prerequisite to, better control of the information

SECRET/NOFORN/CONTROLLED DISSEM

Summary

- 2 -

content of intelligence issuances, either through shallow-level content control of the substantive contents of documents (as planned by Task Team I) or, later, coordination of deeper information-level control, as in deep-indexing retrieval systems. The Team, therefore, feels that its proposals for an Item Register System should be considered now, since many further improvements within the Community could be assisted by such a system (See Section II and IV).

The Team identified the essential elements most nearly meeting the criteria for unique identification of items (Section III). These include a minimum list of data elements such as originating organization, title, classification, unique reference number, etc. (Section III A 1 and III A 2) and devised a categorization scheme to be used for fully identified items to provide a capability for grouping them to serve different purposes (Section III A 3). In Section IV the Team integrated the elements into a proposal for an Item Register System with the following general characteristics:

1. Decentralized input by producers of requisite information by the producers of the item.
2. Centralized processing of input information and maintenance of an authoritative item register and descriptive data base, and,
3. Diversified form, formats and orderings of item information to satisfy a spectrum of uses, including catalog-type print-outs, special bibliographies, and ad-hoc query responses.

The initial system is envisioned as one uniquely controlling and identifying some 5000-7000 items at the series level. Preliminary manpower and cost estimates for the system, for designing, testing, evaluating and to reach operational capability in about six months, include 28 man-months of analyst and programmer time, 12 man-months of clerical support and 170 machine hours (based on an IBM 1410). Once the design, testing, evaluation and build-up are complete, it is estimated that maintenance of the item register, production of periodic products and servicing of ad-hoc requests will require an estimated 10 machine hours per month, one half of one analyst's time and one fourth of one clerical's time (See Section IV C). Full evaluation by the Community users is provided for during the build-up period (Section IV B).

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

Summary

- 3 -

Several alternatives to an Item Register System are discussed by the Team (Section IV E), but judged less adequate. Team members proposed the Item Register System as a solution which does little or no violence to local systems, but which provides a unique and simple capability for system-to-system interchange of information about intelligence items. On this basis, other improvements in the future can be more solidly built.

The Team's recommendations can be summarized as follows: implement the Item Register System (including community evaluation) by assigning the task to one agency as a service of common concern (Recommendations A and B), assign the task of further standardization of bibliographic elements to the implementing agency chosen, to be performed when the Item Register System is a going operation (Recommendation C), and disband the present CODIB Task Team II immediately (Recommendation D).

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 4 -

II. Item Control

The U. S. Intelligence Community is large and diverse. There is a great deal of information processing going on every day. The costs of this processing can be indicated (if not precisely determined) by some of the SCIPS findings.

The SCIPS survey identified hundreds of intelligence components which receive, process and produce thousands of intelligence items each year. Many of these items are issued in series, some of them at regular time intervals; daily, weekly, monthly, etc. In the aggregate, they result in several hundred thousand issuances per year. To fulfill requirements, millions of copies are produced each year.

While all of the SCIPS survey data is now more than two years old, it appears safe to assume that the magnitude of the Community products dissemination operations has not diminished. Indeed, the figures developed by SCIPS are quite conservative since in many cases they do not reflect secondary or subsequent reproduction of copies of issuances made by recipient organizations.

The size of the Community in terms of organizations, items, processes and people can be indicated by Appendix 2, taken from the SCIPS report.

Task Team II's initial objective was to specify requirements for item identification. Growth in the volume of information collected, processed and produced together with drastic reduction in time available for response has resulted in increased functional specialization within the intelligence field. Examples of such specialization include establishment of photo and elint exploitation centers, science and technology centers and current intelligence, indications and warning centers. Such specialization has sharpened the focus of interest and enhanced timely response to programmed requirements. It has also imposed requirements for increased coordination and integration of information and intelligence at national command levels.

Many personnel representing professions and techniques not previously associated with intelligence have entered the arena, including those from such areas as operations research, system engineering, and automatic data processing. In military organizations, there has been an influx of personnel with predominantly operational backgrounds. At the same time, requirements for intelligence support by organizations

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 5 -

outside the Community have increased. Examples of these increased requirements can be found in wargaming, force structure planning, command and control of forces, military aid programs, and many more.

Management at all levels in the Community is faced with immense problems relating to the coordination of work, the most economical use of resources, planning for the future, etc. Basic elements of the Community include organizations and their missions, people, equipment, "items" (the objects of information processing), item flows and processing procedures. Organizations have different missions, but there may be similarity in some of the other elements. Many different organizations, for instance, perform the process of indexing. Such processes are performed to support the different missions of the organizations, and so may differ as the missions differ. However, many "items" produced by one organization are disseminated to other organizations engaged in analyzing, producing, and controlling information. The use of these items may be different in the different organizations, thus a single item cannot usually be considered only in relation to its original purpose. This situation can be a source of strength, since it is obviously better to try to use products for many different purposes than to generate even more "items" by confining each to a single type of end-use. However, this situation has its own inherent dangers of duplication in the processing activities--that is, similar processes (even though for different purposes) may be performed in several activities on the same "items". There is a ray of hope, however, in that this situation can give rise to cooperative arrangements that cut down on the duplication and release resources for other jobs. It should be possible to build on the fact that the flow of "items" forms a thread that ties the Community together in an otherwise pluralistic environment. The solution then lies in the control of the "items" themselves so that improvement can be based on the fact that they are received and processed by many organizations.

In past years emphasis has been placed on control at the organization and policy level (DCID's and other Community-wide directives, CODIB action, departmental policy and organizational control, etc.) and, at times, on a very deep level of information control (standardization of name-check forms, compatibility of detailed indexing schemes, etc.). A middle-level effort, based on the information-bearing items that tie the Community together has been less evident. This is, we feel, a gap that needs filling. If control is exercised at the highest, policy level alone, the various organizations in the Community which thereby have their boundaries and functions delineated for the common good will

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 6 -

still need, to a great extent, to process the same types of "items". Unless these items are precisely identifiable in the various using and processing units so that their use can be followed from unit to unit and each can communicate easily with the others about them, both divergence and overlapping may continue between organizations no matter what the policy directives say. Without the ability to identify items precisely, the advantages provided by the appearance of many of those items in different processing units may be lost, leaving only the danger of duplication and wasted effort. Similarly, the success achieved in developing and maintaining standard methods of representing and processing at the deeper levels of information content may well depend on the availability of precise item level identification.

Knowledge of what is sent and received, by whom, and what is processed and where, is vital for management of Community assets. We shall call this item control. This control, as indicated above, can be established at various item levels. A somewhat oversimplified list follows:

Series level - Identifiable and describable groups of individual issuances having various elements in common, including originating organization, title, frequency, originator's purpose, and degree of processing performed to produce the issues. Elements of control at this level are mostly evident in the document issuance header, but some elements (particularly the degree of processing performed) may not appear on the document at all. Control, identification and description at this level not only facilitate overall managerial planning and control of the Community resources, but also speak directly to the need of the processing organizations themselves in communication with each other to perform their function of providing the "end user" with the information he needs. Thus, for instance, dissemination units often can distribute to their customers on the basis of the header or series-type information (sometimes called "standard distribution" or "subscription-type" distribution as contrasted with "content dissemination").

Issue level - Individual issuances of the above series plus one-time monographic publications which are disseminated according to the content of the individual document. Elements of control at this level are found both in the header of the issuance and in the text itself. The using analyst serviced by the processing units usually describes his need in terms of subject and area content of the documents he wants, and the processing unit (if dissemination is the process) examines every issuance and analyzes both header and content to decide if the analyst needs the information. Most storage and retrieval processes depend on the issue level or even further, the informational content level within each issuance.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 7 -

Task Team I is examining possible aids to content control at the issue level, at a relatively shallow substantive level intended to be useful for dissemination and perhaps at least some storage and retrieval operations. Their effort is not intended to solve all the problems of deep indexing for retrieval, but it is at least addressed to the issue level, where the concepts of subject and area control are perhaps best applied, and where there can be a more direct application to the analyst needs.

Task Team II, on the other hand, addresses the control problem at the series level. This control will serve the managers directly, will greatly aid the system designers in identifying and categorizing that which is to be processed in various different ways, and will aid the disseminators and storage and retrieval systems in their problems of identifying documents not produced locally. This will be an indirect benefit to the using analyst.

Having sketched out the general problem, distinguished between different levels of control, isolated item control as our theme, and further indicated at what level this team approached that theme, we can perhaps redefine the problem: Basically, since information for intelligence purposes flows in "documentary form" and in potentially identifiable "series", and since it is used by many organizations for purposes often far beyond that intended by the issuing organization, a fundamental requirement is to be able, in many different information processing systems belonging to different organizations with different missions, to identify these items and to call each by the same name. A second problem lies in the standardization of the elements used to identify and describe these items. In so far as element standardization applies to the identification problem, our judgment expressed in the Task Team Terms of Reference (Appendix 1) still holds: It is better to begin with a registration of a minimum number of elements for common identification purposes to form a base for further standardization of other elements, than to attempt to standardize on all header elements at once.

The Task Team examined SCIPS data and experience to ascertain progress being made in the Community on item identification and also conducted limited fact-finding of its own. These efforts revealed that most organizations are quite clear in recounting the processes which they apply to intelligence items. However, many organizations find it more difficult to itemize what is received from whom and to identify precisely which items receive what processing. In some cases readily accessible knowledge of inputs was confined to generalizations such as "we process all information reports received" or, "all reports containing personality information from all sources." Further investigation into

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 8 -

either items processed or their sources usually reveals that "all" is really "some, unspecifiable" and that to define the word "some" may require detailed file analysis or in other cases protracted interception and documentation of items at receipt points. Knowledge of what items receive which processes is necessary to make significant comparisons between processing occurring in USIB agency components. This was particularly true when SCIPS attempted to specify the transmission of documents between processing units. The inability to specify items in a standard manner during data acquisition resulted in time-consuming man and machine operations to establish item/process associations which would, in turn, provide insights into both formal and informal community relationships. (See Volume V of the SCIPS report for detailed discussion.)

The Team also considered a previous CODIB-sponsored effort: The Union List of Intelligence Serial Publications, produced in 1957 and updated in 1959. This publication contained many elements for item identification and control as well as free text description of the serial's general content and purpose. However, it was limited in the serials it covered, and it was not published again after 1959. The value of such a tool depends on its comprehensiveness and on its currency. The Union List was published without a method for updating or expanding.

During its deliberations, the Task Team also collected information on existing publication lists, indexes and catalogs, and on existing item control systems. A description of systems and lists, not intended to be exhaustive, is contained in Appendices 3 and 4. An examination of these shows that many organizations feel the need for control of items at the series level. Many produce catalogs of their own publications. Some have found it necessary to control some of the header elements of the publications of other organizations in order to process, disseminate, index and find the items of interest to them in a uniform manner. The information in Appendices 3 and 4 shows, however, that although many elements are used in common in the different lists or systems, the use or method of representation of those elements differs so widely that the user has great difficulty in putting them together. Such an examination also shows, however, that the total number of elements needed for identification may be rather small, and that most, if not all, of these elements already appear on such lists. This augurs well for a further effort to standardize for common interdepartmental identification purposes.

The limitations of past or existing efforts towards community item control, as seen both in the SCIPS effort and in the Team's

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 9 -

fact-finding, become design features for a new effort at item control in the Community which would be

comprehensive in coverage,
standardized in form,
dynamically maintained,
serving a variety of uses, and
readily accessible in form and content.

SECRET/NOFORN/CONTROLLED DISSEM

III. System Elements

This section will present and discuss the Team's findings concerning the basic elements of a further effort in item identification and control. These are: essential elements of information, categorization of series used for intelligence purposes, and item level. These elements are then combined to produce sample pages of an item list. Finally, inclusions and exclusions are considered.

A. Elements of Information.

1. List of Elements.

The Team began with a consideration of the basic elements of information needed for identification and minimum description of items. It was found that various processing units in the Community use different combinations of elements to make unique identification of items, but that these combinations might differ between units and that even if the elements were the same, the method of representation of those elements might differ widely. What is lacking is a tool which relates to each other those elements used in the Community for identification purposes so that cross-talk can be facilitated. Further, it was felt that the provision of additional descriptive elements (beyond those needed for unique identification) would serve the purpose of assisting in the decision of inclusion or exclusion of items in end-use, system management or design situations from particular use viewpoints.

The first task, then, was to identify and list those elements most commonly used for identification purposes, to test these in a live environment to see what problems of identification might arise, and then to decide on a minimum number of elements necessary to relate the efforts in a number of producing units to identify items uniquely (to be called "required" elements) and to list those other elements which might aid the user most in management or design situations ("desired" elements).

A survey of approximately 250 intelligence documents was conducted. A substantial number of SI documents were included in the survey. The test provided further definition of item and element characteristics as a basis for final element selection. For example, it was found that producer at the agency level, and sometimes major component level within agency did not provide sufficient definition even in association with series level title. Also, it was discovered

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 11 -

that certain series designations were actually aggregations of unique items. Even so, a series designation or short title such as OO-A, CS-3, JPRS, or EIC WGR-1, etc., was of significant value when used in conjunction with the exact title of the item and its producer. In a similar vein, the use of a standard form such as DD Form 1396 by producers in various agencies or components was a significant factor in identification and description. Following the item identification test, Team deliberation resulted in the following list of required and desired elements:

Required

- a. Exact title of item
- b. Classification of title
- c. Series designation and control, if any
- d. Producing agency or department, major component thereof, and lowest organizational level identifiable from the item itself
- e. Range of security classification applied to item
- f. Dissemination control applied to item
- g. Item status, i.e., is the item currently being produced? If not, inclusive dates of publication.
- h. Unique reference number.

Desired

- a. Short title of item, if any and its security classification
- b. Frequency of issuances
- c. Form(s) in which produced
- d. Categorization of item
- e. Remarks.

Most of these elements can be used for both identification and description in the sense used here. Identification leads to the setting off of one item from all others so that clear and unambiguous communication about that item can take place in different systems using different vocabularies. Description not only helps to define unambiguous identification, but also lends itself to the formation of classes of items which can, in many management and design situations, greatly help by eliminating the need for repetitive examination of every individual

SECRET/NOFORN/CONTROLLED DISSEM

- 12 -

item. For instance, the element "security classification" can be used a) to help distinguish two different items similar in other respects, as different classification editions of the same unit's product, and b) to help form a class for inclusion or exclusion purposes-- as in the situation where a system is being managed or designed which will not include any items above a certain classification level. The list above contains two elements not now appearing on items, (unique reference number and categorization) each of which speaks to one of these two general uses.

2. Unique Reference Number.

The need for a unique reference number grows from the basic need to identify an item unambiguously and the fact that this need is now met in so many different ways in different processing units. If two processing units need to communicate with each other about items (for instance, to borrow them from each other) and if each has a slightly different system of uniquely identifying those items, they will usually (if the communication need is frequent enough) set up cross-reference files or lists to the system of the other unit. The elements listed above will uniquely identify items at the series level for most purposes and most processing units. A shorthand method of referring to the item so identified is needed for communication purposes (e.g., for secure telephonic communication) as well as to represent a clear and definitive identification decision: "This collection of elements stands for this particular item and no other." It was felt by the Team that although any combination of the elements now in use could perform this function, a new element should be created that would have only this role to play. Various processing units would then not be required to set up new files or cross-reference lists but could rely on one single cross-reference system from their own local identification system to one common to all.

These considerations (security of communications and the need to hold down the growth of new cross-reference lists or files) led the Team to opt for a unique reference number which would represent the result of an identification decision, and which would contain in its method of representation only the meaning that this item is no other item. It was felt that attempts to build more meaning into the number (such as originator, security classification, content, etc.) might encourage many processing units to set up new files or cross-reference lists of their own on this number, which would simply add to the costs without gaining anything in power of identification.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 13 -

The Team therefore concluded that an authoritative item list operating at the "series" level, containing the elements listed on page 11 could remain relatively stable (perhaps a few hundred changes per year) and should provide a unique reference number which should be meaningless without a copy of the list--perhaps assigned sequentially to a random sort of the list. It is quite possible that after the authoritative item list has been in use for some time, producers and users will find each other's techniques of identifying and describing items quite useful. This will, however, evolve very slowly and may never be complete. In the meantime, a unique reference number applied in a standard manner will tie the different identification/description systems together and enable these systems to reference and discuss each other's items expeditiously via any communication medium.

3. Categorization.

As mentioned above, elements of information for identification/description purposes have two types of use: discriminating between different items (identification) and class-forming. The unique reference number just discussed relates to the first of these uses; the second new element ("categorization") relates to the second. The purpose of class-forming is first of all to provide a definitive way of describing item inclusions and exclusions for an authoritative item list or register system. In addition, many similar uses will be found for the same capability: to aid the manager in identifying similar types of items for analysis of coverage, overlap, prospective integration, etc., to aid the system designer in breaking down the large volume of items into smaller groupings of similar items for analysis of content, purpose, etc., to indicate the nature and scope of source materials utilized in production of a given item, and to aid in permitting or precluding release of items as a class where, when, and if appropriate.

Such class-forming or categorization is useful to avoid the necessity of continually re-examining every single one of many items. It therefore should be based on proper inventorying and identification of the items. We can use a number of elements of information to produce unique identification of items, and then categorize those items so that this unique identification can continue to be useful even without examining every one. Some of the elements listed on page 11 serve both these purposes: they help to identify an item uniquely, and can also be used to class numbers of identified items. Thus, we can group the items by originating organization, by security classification, by frequency, by dissemination control, etc.

SECRET/NOFORN/CONTROLLED DISSEM

- 14 -

The Team found, however, that one aspect of class-forming was not clearly addressed by these existing elements. Even knowing the title, originating organization, classification, etc., of an item does not always tell the user where in the intelligence cycle the item was produced. Thus, the degree of processing that resulted in the item is not always apparent. To some extent users can determine this from the content or from more intimate knowledge of the producing organization's mission and function, but those further removed from the originator do not always possess such knowledge. Even if, on the issue level, the item is represented by subject and area indicators, this does not necessarily distinguish between, for instance, the result of translation activities performed on foreign publications on the one hand, and considered analytic evaluation of that material on the other.

The Team therefore developed a simple categorization scheme intended to complement other class-forming elements to make the authoritative item list (once the items are uniquely identified) a more useful tool. It was noted that the categories "raw" and "finished" in wide use in the Community were not sufficiently defined, so that one man's "raw" could be another man's "finished". However, as a first cut, this existing categorization both indicates the need for this class-forming ability and serves as a point of departure. The Team began by establishing three major categories:

Substantive

Information items of potential intelligence value, products of intelligence research and analysis, intelligence estimates and projections.

Substantive Support

Items which are developed to support effective acquisition, processing, production, maintenance, storage and retrieval of substantive information and intelligence.

Non-Substantive

Items of an administrative or operational nature occurring in intelligence organizations which are not otherwise associable with substantive information or intelligence.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 15 -

The general concept of categorization of substantive intelligence items was the type and amount of processing applied in creating them. Restated, the rationale for placing an item in a particular category is the type and amount of processing which has been applied to an item from the time information is acquired and reported through numerous as well as various processes until it may be blended, with or without attribution, into a national estimate or projection. This sequence may involve a process such as developing a latent image on film, translation of a foreign language document, or preparing a textual report of a visual sighting. It may require technical processing and analysis of related sets of analog data as in elint, acoustint, or seismint processing. The products of reporting and technical processing are synthesized and analyzed to produce basic forms of intelligence. That is, the "who/what is where" and the "how many" or "how much". Additional substantive analysis is usually necessary to postulate the "why" and "so what" phase of intelligence production. The latter may be produced on the highest levels as a national intelligence estimate or projection.

A logical extension of the processing concept of categorization beyond this point would carry us into the realms of application of intelligence to military operations, personnel requirements--both qualitative and quantitative--materiel procurement, logistics, research and development, etc. This extension was not attempted by the Team, even though the insights provided thereby might be significant in defining, developing and maintaining appropriate intelligence response patterns.

The category scheme which was ultimately selected by the Team as suitable for the purpose of supporting the creation and maintenance of an authoritative item register consists of the following categories, subcategories, modifiers, and their notations:

a. Substantive Items (10)

Items containing information of potential intelligence value such as information on people, their activities and relationships; products, product characteristics; installations; locations, events; situations, etc. Also items resulting from the technical and substantive analysis of this information and intelligence estimates and projections based thereon.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 16 -

(1) Textual Collection Products (11). Items containing information of potential intelligence value which are in their original form as first received or generated, and that form is textual. Examples are attache reports, interrogation reports, clandestine service reports and foreign publications in their original form.

(2) Technical Collection Products (12). Items containing information of potential intelligence value which are in their original form as first received or generated, and that form is non-textual. Examples are photographs, analog and digital recordings and materiel for analysis.

(3) Technical Processing Products (13). Items resulting from processing of collection products. Such processing is primarily intended to provide the information contained in the original item in a more comprehensible form for a substantial number of users. Examples are translations of foreign language publications, photo interpretation reports, materiel analysis reports, factory markings analysis reports and NSA end-product.

(4) Studies and Intelligence Reports (14). Items containing conclusions based on analysis/synthesis of pertinent information contained in collection products and products of technical processing available from "most" sources/methods of acquisition. These items usually reflect the results of particular investigations or analyses, may contain conjecture but usually are not estimative as to national or international impact. They may be departmental, inter-departmental or national in scope. Examples are economic, political and scientific analysis reports; area studies; biographic analysis reports; orders of battle; intelligence briefs, bulletins, reviews, summaries and digests; photo intelligence reports which reflect the use of other than photo source materials; intelligence surveys and inventories; target and other graphic intelligence materials.

(5) Estimates and Projections (15). Items containing conjecture and calculations based on available intelligence which address purposes, intentions, capabilities and

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 17 -

vulnerabilities of hostile and friendly powers. They may indicate possible courses of action, both friendly and hostile. Examples are departmental and national estimates, programmed and/or ad hoc; projections of capability: economic, industrial, military, scientific, etc.

b. Substantive Support Items (20)

Items which support the management, acquisition, processing, production, storage and retrieval of substantive items. They may incidentally contain substantive intelligence related to their support purpose.

(1) Research and Reference Aids (21). Items which are created to identify (and refer the user to) substantive items or to file holdings thereof. Examples are bibliographies, item or file indexes, title listings, tables of contents, abstracts, extracts or summaries of items or file holdings.

(2) Requests and Requirement Items (22). Items which reflect user needs for information items to be collected and reported, for items to be disseminated, for files to be searched and items retrieved, for research and substantive analysis. Examples are collection requirements and guides, dissemination lists, file index searches, requests for analytic studies, estimates and projections.

(3) Substantive Management and Processing Aids (23). Items supporting the management of substantive information acquisition, processing and production activities. Examples of management items are directives, plans and programs, status reports and product inventories. Examples of processing items are code books and coding manuals, standing operation procedures, operating schedules, dictionaries, glossaries, machine programs, etc.

c. Non-Substantive Items (30)

Items of an administrative or operational nature which deal with such subjects as personnel, facilities, logistics, physical security, etc., of the U. S. Intelligence Community.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 18 -

d. Modifiers

The following modifiers are applicable to all categories. They provide additional discrimination with a minimum number of categories. In connection with an item register, the modifiers Counterintelligence and Domestic Subjects are most apt to be used for exclusion purposes. The modifiers Foreign Publications, Current Intelligence Items and Collations are most apt to appear in association with items to be included in an item control system. Note, for instance, that the products listed under "collation" below bring together information that results from different levels or types of processing--they belong to different class categories [5 (a) and 5 (c) - Technical Processing products, 5 (b) and 5 (d) - Studies with Current Intelligence modifier, 5 (e), and 5 (f) - Studies, 5 (g) - Research and Reference Aids]. Hence the use of a modifier for collations, instead of a new class.

(1) Domestic Subjects (D). An item containing substantive information about United States citizens, their activities and relationships; products, product characteristics; installations, locations, events, situations, etc.

(2) Counterintelligence Items (X). An item generated by activities established to counteract enemy intelligence activities. Usually deal with enemy intelligence methods, techniques and activities.

(3) Foreign Publications or Derivatives Therefrom (F). Items which may be an open source foreign publication, a translation thereof, in whole or in part, or other items directly associable with the acquisition and processing of foreign publications.

(4) Current Intelligence (C). Items designed and distributed in a manner to provide up-to-date information or intelligence to the recipient.

(5) Collation (L). Substantive information or items grouped together on some basis such as time, location, subject content or purpose, can be narrative or tabular, factual or evaluative. Examples are the following:

SECRET/NOFORN/CONTROLLED DISSEM

- 19 -

- (a) Survey of Communist Bloc Broadcasts
- (b) Current Intelligence Digest
- (c) Galena Report
- (d) DIA Intelligence Bulletin
- (e) Target Data Inventory
- (f) Bombing Encyclopedia
- (g) Intelligence Publications Index and
- (h) Consolidated Translation Survey.

B. Item Level.

Section II of this report distinguished between issue level and series level of "items." The identification/description effort we are discussing centers around the series level. However, there are many specific questions that arise when trying to define just what the series level is. For instance: What is an issue and what is the series if the NIS is being considered? Is the NIS itself the series, and each section of each chapter of each area an issue? Or are there several NIS series, perhaps one for each area or one for each chapter? It is obvious that decisions of this type will materially affect the size (and therefore the costs) of an authoritative item list. The item identification test carried out under the Team's auspices was of substantial assistance in considering what might be an appropriate item-level for entries in an authoritative list. It was apparent that the establishment of such a list at the issue level would result in hundreds of thousands of line entries, some of which would change each day. The series level appeared promising even though the SCIPS experience indicated that such a list might involve several thousand line entries. In addition there exist many intelligence items which should be incorporated in an authoritative item list which are not issued in series.

It was decided that the series level would be used for recurring products, and groups of individual titles would be listed for non-recurring products. At the same time, it was acknowledged that adjustments in this general concept of item level might be required as the list was being developed and additional items or series designations were encountered.

The decision to develop the list at the series level created several second order problems. Acquisition of certain descriptive elements cannot be done solely by inspection. For example, security classification and dissemination controls may vary from issue to issue, therefore, the range of classification and dissemination control which

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 20 -

have been applied to items in the series, or might be applied thereto, must be reported by the producer and may be subject to change from time to time. Provisions must be made for timely reporting of such changes to avoid misrepresentations in the list. Also, frequency of publication may not be manifest from an inspection of a given issue or even several issues and must also be specified by the producer. The same is true concerning variant orders, forms and formats in which an item can be obtained from the producer.

In view of these problems the Team decided that the design, development, implementation and maintenance of an authoritative item control system would probably require continuing contributions from item producers and a central reporting point for maintenance of the item register and for providing service therefrom. Further, many of the detailed decisions concerning what is a series and what is an issue can only be made concretely in the context of building an item list. On the other hand these decisions will affect the costs of the list itself. This consideration influenced the Team in its decision to recommend an early evaluation step during the initial operating period for the item control system (see below under Recommendations) before full operational implementation. The following discussion was thought helpful as a guide to those who would make the concrete decisions during such an initial period:

There are a number of guides which aid in defining item level. One is represented by the utilization of standard report forms such as is often the case in collection reporting. An example would be Air Force reporting on DoD Form 1396.

Another guide is the existence of series designators which are applied to many categories of intelligence documents issued in series. The designator is usually a set of numbers or letters. These designations sometimes serve the purpose of short titles of the series. Examples are NIE (National Intelligence Estimates), SNIE (Special National Intelligence Estimates), BR (Biographic Report). In other cases, the series is designated by a name, e.g., Technical Memorandum or Propaganda Report followed by a numerical designator (e.g., Vol. II Issue 33) or title (e.g., "Soviet Attendees at the Fifth International Conference") for each specific issue. In these cases we deal at the series, not the specific issue level.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 21 -

Originator is also a critical factor in unique item identification. Many series have identical series designators but are issued by different organizations (e.g., Intelligence Briefs, Intelligence Summaries, etc.). Each such series designator in conjunction with its originator should be a separate line entry in the item register. In cases where these items are issued daily and also weekly, monthly, etc., each daily, weekly, etc., will be an individual line entry.

Security classification and dissemination controls applied may also cause item discrimination when "sanitized" versions are issued. In such cases, the versions have different content, different dissemination patterns and different processing.

On the other hand, a change in physical form without change in content is not a criterion for creating a separate line entry in the item register. Variations in form are indicated in the descriptive elements of the item control system.

C. Sample Item List.

The elements of information discussed above, including unique reference number and categorization, applied to items at the series level (not completely defined as yet but sketched out in the guidelines above) enable us to provide a sample of what an authoritative item list might look like. An example is given in Appendix 5 and is meant to be illustrative of the kinds of information to be carried, and not definitive. A number of further detailed decisions would still need to be made, such as further specification of exact method of representation, use of codes or abbreviations, field lengths, etc. It is felt that these decisions can best be made in the live environment of an initial build-up of an item control system.

D. Scope.

How many different types of items should be covered by an authoritative item list? The conclusion drawn above and from past experience is that the list should be comprehensive. Its usefulness may depend on this factor. However, just what does this mean in terms of which items to include? Here the Team decided that no exclusions should be made on the basis of security classification alone. In other words, all feasible levels of classification, from unclassified

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 22 -

up, should be included. In principle, no originating organization's products should be excluded if they are used in the production of intelligence. (This principle holds even though the details of drawing the boundaries may be left to a later evaluation of a live item list.) But even if all originators and all security levels are eventually included, what types of items should be included within these limits?

Here the Team made use of the categorization scheme (see III A 3 above) devised as part of its effort. Subject to community requirements expressed after an initial evaluation of an operational item control system, the Team felt that 1) all "non-substantive" items should be excluded; 2) all "domestic subject" items should be excluded; 3) within the counterintelligence items, only the classes "studies" and "estimates" and all the "substantive support" classes should be included, but textual and technical collection products and technical processing products should be excluded. The inclusions/exclusions can best be indicated by the following table, expressed in terms of the categories and modifiers set forth in III A 3 above:

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 23 -

CATEGORIES	INCLUSION	MODIFIERS				
		D	X	F	C	L
		Domestic Subjects	Counterintelligence Items	Foreign Publications or Derivatives thereof	Current Intelligence Items	Collations
Substantive Items <u>1/</u>						
Textual Collection Products	X	0	0	X	X	X
Technical Collection Products	X	0	0	N/A	X	X
Technical Processing Products	X	0	0	X	X	X
Studies & Intelligence Reports	X	0	X	X	X	X
Estimates & Projections	X	0	X	X	X	X
Substantive Support Items <u>2/</u>						
Research & Reference						
Service Products	X	0	X	X	X	X
Requests & Requirements	X	0	X	X	X	X
Substantive Management and Processing Aids	X	0	X	X	X	X
Non-Substantive Items	0	0	0	0	0	0

LEGEND

X = Some coverage

0 = No coverage

FOOTNOTES

1/ Excluding maps and photos as such (But includes PI reports, or items about foreign mapping, bibliographies, indexes, etc.).

2/ Excluding intermediate products (those that do not go beyond the organizations creating them).

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 24 -

IV. System Integration and Alternatives.

We have discussed (Section II) the problem of item identification and its relation to other efforts at community rationalization, and, in Section III, have laid out some basic elements of a proposal for a new effort to fill some of the gaps mentioned in Section II. It remains to integrate these elements into a system proposal (Section IV A) to provide an implementation plan for the proposed system, identifying and describing functions and tasks to be performed as well as attendant processes and resulting products (Section IV B), to give preliminary cost estimates of manpower and equipment required to implement the system (Section IV C), to discuss various options for performing these functions (Section IV D) and, finally, to discuss some alternatives to the proposed system (Section IV E).

A. Proposal for an Item Register System.

After listing and discussing the specific elements of a possible solution discussed in Section III, the Team felt that the preferred solution would be the creation of an Item Register System. The general characteristics of this system are

1. decentralized input by producers of requisite information on items as specified in Section III A of this report,
2. centralized processing of input information and maintenance of an authoritative item register and descriptive data base,
3. diversified form, formats and orderings of item information to satisfy a spectrum of uses to which such information might be put.

Inputs will be information on intelligence items which are produced or processed by member-agencies of the United States Intelligence Board. Input items will be included according to the table in Section III D of this report.

Another aspect of inclusion in the Item Register System is that of the security level of the operation. It is felt that for certain purposes, such as cross-source correlation, the usefulness of item registry products will be in direct proportion to their scope. The registry should be capable of providing products as comprehensive as necessary to provide

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 25 -

all requisite identifying and descriptive information about items to qualified users. The need for an authoritative item list derives from the large number of items being produced and distributed within and external to the Intelligence Community. A considerable number of these items fall into special need-to-know categories such as accorded so-called SSO and SAO materials. In response to present operating security procedures, an item list might be prepared for release at the Secret level. Several TOP SECRET supplements might also be prepared. Also consolidated lists prepared for release at appropriate security levels might also be considered. In a related field, i.e., application of dissemination controls, the ability to provide lists which are releasable to certain foreign governments or their representatives and to qualified civilian contractor organizations appears desirable.

With the foregoing exclusions and inclusions in mind, inputs to the item registry should be anticipated from CIA, DIA, NSA, other intelligence components of the DoD (including Army, Navy, Air Force and the Commands), State and AEC.

Outputs from the system will include various regularly produced catalog-type listings and answers to ad-hoc queries. Further suggested specification of processing and production is contained, below, in Section IV B (System Implementation).

B. System Implementation.

Implementation of the Item Register System will involve a sequence of functions and tasks as indicated below.

<u>Function</u>	<u>Description of Tasks</u>
(Phase I)	
1. <u>System Design</u>	Determination of reporting procedures, forms, and data file structures; computer system flow charting and programming; design of products; establishment of data codes and tables (for organizations, security classes, etc.).
2. <u>Data Collection</u>	Collection of examples and descriptive data on items. Formatting and transcribing of this data.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 26 -

3. Initial System
Operation

Keypunching of data, file building, production and reproduction of outputs, servicing of queries, data base maintenance.

(Phase II)

4. Evaluation

Establishment of criteria, survey of users through CODIB, compilation of evaluation results, and preparation of report for CODIB on form, format, frequency and type of services, and inclusion factors.

(Phase III)

5. System Modification

Establishment of changes and modification of data files, programs, and products, based on evaluation results. Collection of information on additional items as suggested by evaluation.

6. System Maintenance

Institution and operation of reporting system and monitoring for deletions, additions or changes in item corpus. Production of periodic products and servicing of ad-hoc requests. Conduct of occasional further evaluation surveys.

The machine system will be capable of generating a broad spectrum of item level information in a variety of forms to suit the needs of users. Products may take the form of tabulator printer listings or punched cards or magnetic tape for further machine processing by recipients. Periodic listings may be provided by conventional reproduction methods when large numbers of copies are required.

Machine printouts may be provided in various formats designed to meet specific user needs by utilizing a report generator program. Since maximum fixed fielding of information is a preliminary design criterion, many different orderings of data base information may be provided (see Appendix 6 for a suggested card layout for data input). Basic orders in which item lists would normally be anticipated are

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 27 -

- a. by producer, alphabetic subsort by item name
- b. by category, with alphabetic subsort by item name
- c. by security classification, subsort by producer, secondary subsort alphabetic by item name
- d. by dissemination controls applied, subsort by producer, secondary subsort alphabetic by item name
- e. numerically by unique reference number
- f. possibly a permuted title index
- g. by producer, subsort by category, secondary subsort alphabetic by item name
- h. by category, subsort by producer, secondary subsort alphabetic by item name.

C. Resource Estimates.

Preliminary estimates of resources needed to perform the functions and provide the products described above are given below.

<u>Col. 1</u>	<u>Col. 2</u>	<u>Col. 3</u>	<u>Col. 4</u>	<u>Col. 5</u>
Function	Analysts	Programmers	Clericals	Machine Time (based on IBM 1410)
1.	2 for 2 months	2 for 3 months	1 for 3 months	20 hrs.
2.	2 for 4 months		1 for 1 month	
3.		1 for 1 month	2 for 2 months	30 hrs. per mo. 3 mos.
4.	2 for 2 months (plus costs of evaluation by the users)		1 for 2 months	
5.	2 for 2 months	1 for 2 months	2 for 2 months	30 hrs. per mo. 2 mos.
6.	½ per month		¼ per month	10 hrs. per mo.

D. Implementation Alternatives.

Gross alternative methods for performing these functions are as follows:

- 1. CODIB Support Staff to perform analytic functions (column 2 above) with assistance from CIA or DIA for programming, keypunching and machine time (columns 3,4,5). This would require augmenting the CODIB Support Staff with analytic manpower as listed in Column 2 above.

SECRET/NOFORN/CONTROLLED DISSEM

- 28 -

2. CODIB Support Staff to monitor contractual assistance for systems analysis, surveys and programming, with machine time (Column 5) and perhaps keypunching (Column 4) assistance from CIA or DIA.

3. One agency (CIA, DIA, NSA or State) to be named to perform the whole operation as a service of common concern, with reimbursement and/or manpower inputs from other agencies.

4. One agency (CIA, DIA, NSA or State) to be named to perform the whole operation as a service of common concern without further reimbursement or manpower inputs from other agencies.

5. A new joint project staff to be established full time for the specific purpose of building and maintaining this system, with machine assistance from CIA or DIA.

Under any of the above alternatives the mode of operation can be either:

- 1) Agencies responding to questionnaires and instructions from the system unit, or
- 2) Active collection by the systems unit using CODIB representatives as access to each agency.

E. Alternatives to an Item Register System.

Sections IV A through IV D have presented a proposal for an Item Register System to fill the gaps in item control discussed in earlier sections of this paper. This section will provide a general treatment of alternative methods of attacking the problems mentioned in Section I. The alternatives to an Item Register System can be classed under two headings: promulgation of standards, and preparation of an authoritative list of indexes. No attempt has been made to list exhaustively all the different combinations of solutions possible-- most will fall under one of these two headings. Each is followed by a discussion indicating why the Team opted for the Item Register System.

1. Promulgation of Standards.

The Community might agree on the minimum number of elements needed for identification and description and on the exact method of representation for each element. This would represent a set

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 29 -

of standards, which could then be promulgated by USIB. If the standards were adopted by all members of the Community for their own products, and if a working agreement were adopted for some Community members to report to all others on products originating outside the Community, then communication would be greatly facilitated and further steps, perhaps including cooperative processing arrangements which might include an authoritative item list, would be possible.

This solution would be subject to the following problems: To be of any use a set of standards must be applied. It should carry with it a plan for application. If we do not provide a plan, if we simply promulgate the standards, we can do so either by issuing the standards with no follow-up, or by providing some sort of periodic checking mechanism. Without follow-up, very little might result. It may cost each installation something to adopt the standards, and there would be no concrete way of showing each the advantage of conforming. If a periodic check is performed roughly similar results might follow. The reports from the installation might not mention all the potential applications or might state that application is inappropriate to some activities. If, however, the standards are "forced" on the activities, there is a danger that the standard elements or methods of representation will be adopted in each activity in addition to those now in use, so as to minimize the disrupting effect on existing processes or files. This might at least partially negate the benefits of standardization. It would enable the organizations better to communicate with others, as intended, but no further improvement would be possible in the local processing activities; and it is in these local activities that the ultimate pay-off for standards lies. In addition, such superimposition can represent extra cost.

If we promulgate a set of standards with an implementation plan, we face the following problems: Such a plan will require much more thorough study of each local application. This effort would be needed to cost out the effect of adoption of the standard according to a particular implementation plan. Unless a thorough systems study underlies the implementation plan, this alternative would still have the psychological effect of "ramming" the standards down the throats of the various activities. Also, the cost of making such a thorough systems study might be large in relation to the advantages of adopting the standard itself.

Even if we can promulgate the standard, and even if it is accepted in enough activities to make it worthwhile, we still would

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 30 -

have the problem of updating it. Organizations, missions, and processing all change over time, so standards must have a dynamic quality. To prevent these changes from negating the good effect of standardization, alterations in the standard must be agreed on by all concerned. This requires some central monitoring and approving mechanism.

The above considerations produce somewhat of a dilemma. The result might be either 1) that standards will be given lip-service only, with resulting costs in lack of communication, lack of cross-system correlation capability, duplication of effort and the continued divergence of our systems, or 2) the application of standards alongside existing system elements, resulting in higher costs than ever, even though a possibility might exist that the divergence could be reversed.

2. Authoritative List of Indexes.

Appendices 3 and 4 contain a partial list of indexes, product surveys, and production programs prepared by various agencies. These provide substantial "local control" over "local production." However, within their limited scope they do provide the potential user with valuable insights about locally-produced products. A review of these items indicates that most of the identification/description elements discussed in Section III A of this report are already included as elements in these items. Dissemination of such a list of these indexes to appropriate elements throughout the Community would undoubtedly result in some expanded awareness of "who else is doing what, and how often." This approach would respond to a number of purposes of an authoritative item list. Specifically, it would

- a. be available for reference by analysts
- b. assist in data exchange
- c. assist in communicating.

Substantial additional effort would be necessary to make the list of indexes a useful tool to

- a. aid in describing inputs to files and their outputs,
- b. help avoid duplicative processing and production,
- c. help avoid gaps in processing and production,
- d. help predict and schedule workloads,
- e. facilitate system studies and detailed system design.

In the main, the additional effort would involve standardizing on at least the elements necessary to uniquely identify an item, the assignment

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 31 -

of a unique reference number to line items in the indexes and categorization of line items in accordance with the category scheme described in Section III A 3. This additional effort might well approximate the effort necessary to create a dynamic Item Register System.

An additional step which would carry the concept of an authoritative list of indexes forward would be to request those components of the Community who do not do so to publish an index to their products. Here again they should utilize as a minimum those elements necessary to identify their products in a unique manner.

The next step in sophistication which could be undertaken would be to have each index producer standardize on the method of representing the unique identification elements. This would involve some change to existing systems. It is also noted that within given agencies where several such indexes are produced no attempt has hitherto been made to standardize on methods of representation or even, in some cases, the elements. In any event, it is felt that the benefits of such standardization should outweigh the impact of resultant system changes.

The authoritative list of indexes is adjudged to be inadequate but would constitute a useful instrument throughout the Community, and therefore the Team considers it a definitely second-best response to its objectives.

The foregoing system alternatives in most respects approximate incremental implementation alternatives which minimize change and support requirements. These approaches will tend to delay systematic operation while providing a tool for Community use which exists today only in a fragmentary form. It is quite possible that the interface problem between "local systems" should be solved once and for all on input as proposed by the Task Team (Section IV A) rather than being resolved innumerable times as a function of output analysis by each user each time he uses a list.

The cost of continuing divergence is not easy to estimate, whereas the cost of a given proposal must be more concrete. What are the characteristics of steps which will avoid the dilemma? They should perform a needed service not now being performed, and, through that service, help to reverse the divergence and begin a convergence which, even though slow, would be organic. We would then be

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 32 -

letting the changes which are inevitable work for rationalization and not against it, and basing further progress on the rational motivation of the local system managers who would see the benefits to their own operations of each successive step, and take it when they need to. It should be appreciated that the implementation of standards for item identification does not in itself result in an item list, but only facilitates its creation and maintenance, which again must be done either once for the Community or duplicatively in each component.

It is submitted that the Item Register System represents a "small" step (small in relation to the cost of the Community) upon which other organic changes can be founded as time goes on. The Team therefore considers this system the "preferred" solution.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

Recommendations

- 33 -

V. Recommendations

Task Team II recommends the following actions:

A. Implement an Item Register System by performing Functions 1 through 4 in the table on page 25 of this report, by naming one agency (CIA, DIA, NSA or State) to perform the whole operation as a service of common concern, with reimbursement and/or manpower inputs from other agencies as appropriate (implementation alternative 3 on page 28).

The decision on what items to include in Functions 1 through 4 would be guided by the following:

1. Referring to the category-modifier table in Section III D of this report, only those class-modifier intersections marked with an X would be considered for inclusion.

2. Within these general inclusions, as many items will be included as the time allotted permits, subject to the following additional guidelines:

a. Maximum coverage within the time available for items produced by USIB Agencies, provided that

b. At least a representative minimum of items produced by non-USIB U. S. Government agencies are included and

c. At least a representative minimum of foreign original publications are also included.

B. Subject to the results of evaluation at the end of six months (Function 4), implement Functions 5 and 6 on a continuing basis.

C. In addition, instruct the implementing organization to develop item description element standards and recommend them together with an implementation plan.

D. Disband the present CODIB Task Team II immediately. Instruct the CODIB Support Staff to advise the implementing systems unit on any problems that may arise in the performance of Functions 1 through 6.

SECRET/NOFORN/CONTROLLED DISSEM

C-O-N-F-I-D-E-N-T-I-A-L

APPENDIX 1

CODIB-D-111/1.2/2
25 November 1964

U N I T E D S T A T E S I N T E L L I G E N C E B O A R D

COMMITTEE ON DOCUMENTATION

ITEM IDENTIFICATION - TASK TEAM II

Terms of Reference

I. Scope

The idea for this team was formed by combining two of the groups suggested in the CODIB report to USIB on the SCIPS Report (CODIB-D-82/28, 26 February 1964, page 21). The CODIB report envisaged one group to "develop and publish a standard item list" and another to "develop and implement standard item description lists." These two tasks are distinctly different, although they use some common elements of information. By the same token some of these elements are common also to other task teams: content control, foreign publications, and also installations description. The differences between the two parts of the "bibliographics" task team are in many respects as great or greater than the differences between that task team and others. Thus the "item list" is an inventory and standard identification of publications of all kinds of use in intelligence work. The emphasis is on identification, being able (on a continuing basis) to call a given series by the same name or number in all processing organizations using that item. The purpose of work on item description lists, on the other hand, is to standardize header elements (those describing the document as opposed to its contents). Both concepts are closely related, of course, since both have to do with identification of items rather than content, and both speak to the problem of cross-system correlation. However, the product of each effort would be different. In the case of an item list, this would be an updated identification list available to all which would facilitate cross-system communication about the existence and processing of the same documents in different systems. Such a list would need to be a constantly updated tool requiring a standardizing authority and a central publishing point. Standardizing item description lists, on the other hand, would not result in such a

Group 1

Excluded from automatic
downgrading and
declassification.

C-O-N-F-I-D-E-N-T-I-A-L

C-O-N-F-I-D-E-N-T-I-A-L

Appendix 1

- 2 -

list (although if all systems standardized their header data, they would of course be better able to produce input to such a list and thus require less centralized resolution to produce the list). Instead, the immediate product would be standards for header information which might or might not be accepted in all component systems of the Community.

Logically, it might seem best to standardize all document description elements for the entire community, and then devise a system for reporting certain of these elements to a central point for maintenance of an inventory or item list. This would, in the present circumstances, be impractical, especially if we were forced to wait for general acceptance and use of such a standard for document description before producing an item list. Further, the gains from an item list can be realized by concentrating on only a very small number of document description elements, which could be more easily standardized, at least for an inventory, than the total list of elements. For instance, perhaps all that is needed to begin a fruitful cross-talk between systems is an inventory containing category, series title, originator, classification and some kind of unique item number. Since most if not all local systems already control title, originator and classification (although title and originator vary so much that at present it is extremely difficult to cross-correlate between systems), all that would be necessary is the provision of a unique number which would tie together items called by different names in different systems and/or different levels of source or originators.

It is therefore apparent that the "Item List" might precede the final acceptance of standardized complete document description elements by many of the Community IP systems. Further, introduction of such an item list into the Community would, if an update system were devised, enable the kind of cross-talk which would in turn facilitate acceptance of further standards on other descriptive elements.

It is proposed, therefore, that this task team, now charged with both jobs, tackle them one at a time, starting with the "Item List." The following task statement, therefore, will deal with the "Item List," and within that task, only with the first phase of the work. On this latter point, it should be pointed out that the CODIB report on SCIPS (cited above) defines the task as follows: "develop and publish a standard item list." It is felt that the first task is to define the scope and develop a plan for such an item list. This task can be accomplished by ad-hoc task team methods plus tasking the departments and agencies with some fact-gathering homework. The actual

C-O-N-F-I-D-E-N-T-I-A-L

C-O-N-F-I-D-E-N-T-I-A-L

Appendix 1

- 3 -

preparation and updating of the item list itself, however, may require some mechanism with a greater measure of continuity and centralized direction, and possibly EDP support.

The following task statement, therefore, refers only to the "Item List" and within that, only to the first, or planning phase:

II. Item Control Task Statement (First Phase)

A. Objective

To develop a plan whereby an inventory and standard identification of publications, document series, and other processing items of substantive intelligence can be developed and maintained.

B. Initial Problem Parameters

1. Scope

- a. Items containing or directly concerned with information on foreign areas
- b. All subjects and areas
- c. All sources and classification
- d. All forms and degrees of processing.

2. Characteristics

- a. Dynamic reporting and update system
- b. Both periodic reference lists and ad-hoc query response
- c. May maintain samples.

3. Constraints

- a. The system must service entire Intelligence Community
- b. Must consider local item control objectives
- c. The system, itself, is not intended to provide content control or document retrieval.

C-O-N-F-I-D-E-N-T-I-A-L

C-O-N-F-I-D-E-N-T-I-A-L

- 4 -

Appendix I

C. Initial Tasks

1. Review and summarize significant present and planned item identification systems and activities of USIB member agencies.
2. Identify common elements of item identification systems.
3. Establish categories of items useful for community identification systems.
4. Obtain rough estimate of volumes by major categories.
5. Identify control points in the Community where item control is or should be established.
6. Determine the scope of the item list, establish priorities and phases for implementation.
7. Develop gross alternative plans for an item register.
8. Determine additional tasks required to accomplish objectives of Part I (Item List) and Part II (standardization of elements).
9. Make initial report including recommendations to CODIB.

D. Resources Required

This task involves the following types of work: team discussion of goals, plans, etc.; planning and scheduling of homework tasks; departmental homework; analysis of results of that homework; resolution of differences and preparation of alternative plans for implementation. Four types of resources will be used: the Task Team as a group, the individual team members, the CODIB Support Staff, and CODIB members. Their general tasks will be as follows:

1. Task Team as a group: setting goals, determining schedules and deadlines, discussion and resolution of problems identified by staff work, monitoring all work connected with the initial tasks (#1-8 above).
2. Individual team members: obtaining the information required from departmental components.

C-O-N-F-I-D-E-N-T-I-A-L

C-O-N-F-I-D-E-N-T-I-A-L

Appendix 1

- 5 -

3. CODIB Support Staff: work at various times with the SCIPS data base; identifying common elements of the item identification system after departmental homework is done (task 2); identify alternative categories of items useful for community identification systems (task 3) for decision by the group; helping individual members to obtain gross volume figures (task 4) and pulling these figures together; use of the SCIPS data base and members' information to identify alternative control points for item control for decision and resolution by the group (task 5); preliminary staff work to identify and present gross alternative plans for an item register for consideration by the group (task 7); staff work in initial drafting of additional tasks required to accomplish objectives, again for group decision (task 8).
4. CODIB members: assist in obtaining additional, necessary departmental support for task team efforts.

Since departmental homework is required as well as group work, it is felt that the job can best be done by the Task Team with the assistance of the full-time members of the CODIB Support Staff in the work outlined above. This is particularly important since the overall task of this phase of the team's mission is to prepare gross alternative plans for an operational system. This would be very difficult to accomplish without some full-time assistance and continuity. However, planning and direction will be in the hands of the Task Team, whose members will in addition assist in arranging for the departmental homework.

Members of the Task Team will require clearances above Secret, and members should be assigned from or have ready access to and knowledge of the publications control focal points in each department: CIA, DIA, State, NSA, Army, Navy, Air Force and NPIC. With the active support of the CODIB Support Staff, members of the Task Team will spend about one day a week equivalent in addition to arranging for obtaining departmental homework.

C-O-N-F-I-D-E-N-T-I-A-L

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 2

The attached table from the SCIPS Report shows the SCIPS coverage in terms of agencies, organizational units, information processing activities, people, pieces of equipment, items, files and unit records in those files. As explained in the SCIPS Report, SCIPS covered only a part of the Community: six agencies out of nine, 61 organizational units of an estimated 250, etc. Thus the 348 information processing activities are only a small part of the total. This is therefore true of the people, equipment, and files. Through analysis of the distribution patterns of items flowing into and out of the units surveyed, SCIPS identified or noted 2500 organizational units, although not all of these do a significant amount of information processing. The purpose of this table is not to delineate exactly the size of the Community, but simply to give ball-park figures in terms of the key elements.

SECRET/NOFORN/CONTROLLED DISSEM

25X1A

Approved For Release 2002/01/15 : CIA-RDP80B01139A000300020010-8

Approved For Release 2002/01/15 : CIA-RDP80B01139A000300020010-8

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 3

ITEM IDENTIFICATION CONTROL SYSTEMS

This Table lists selected examples of item identification control systems currently in use by the Intelligence Community. The Table is formatted to show types of items under control; the component within an agency responsible for originating the system; whether the controlled items are coded, i.e.; operation program numbers; use of short titles and serial numbers and an explanation of the system. It is not intended to be a complete listing of all item control systems.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 2 -

APPENDIX 3

ITEM IDENTIFICATION CONTROL SYSTEMS

<u>AGENCY</u>	<u>TYPE OF REPORT</u>	<u>PROCESSING ELEMENT</u>	<u>CODED</u>	<u>SHORT TITLE</u>	<u>SERIAL NO.</u>
DIA	Information Reports	Military Attaches, Commands, etc.	Yes	No	10 digit USIB Serial No.

REMARKS: See DIA Instruction 58-7 (Enclosure 5) which established the identifying numbering system for information reports. First digit indicates the major issuing agency; the second, third and fourth indicate the specific reporting element; the fifth through eighth digits indicate the actual report number and the ninth and tenth indicate the calendar year.

DIA	Substantive Intelligence Publications	Production Center	Yes	Yes	See Remarks.
-----	---------------------------------------	-------------------	-----	-----	--------------

REMARKS: PCOP 5-5 establishes a standardized numbering system for all substantive intelligence publications produced by DIAAP-1 as follows:

- AP-1 = Production Center
- 3 numerals 000 = Indicates series operation program numbers (200=military capabilities)
- 1-up number = Identifies the specific publication produced
- 2 digits = Year
- INT = Denotes a substantive intelligence publication

Additional digits are used to distinguish between different series within the same operating program number (200-1) and a letter indicating a complete reissue (200-1A) (ADMIN following series number as described above denotes administrative publication.)

DIA	Substantive Intelligence Publications	Various elements of DIA	Yes	Yes	See Remarks.
-----	---------------------------------------	-------------------------	-----	-----	--------------

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 3

- 3 -

<u>AGENCY</u>	<u>TYPE OF REPORT</u>	<u>PROCESSING ELEMENT</u>	<u>CODED</u>	<u>SHORT TITLE</u>	<u>SERIAL NO.</u>
<p><u>REMARKS:</u> DIA-5-2 requires each DIA substantive intelligence publication to have a unique title composed of an alpha-numeric code. The first two digits to be the last two letters of the DIA organization symbol at the producing office.</p>					
AIR FORCE	Incoming and Outgoing messages	Commands	No	No	Identifying designation and number and date found in lower left corner of message. CAF IN preceding number appears on incoming messages classified SECRET and CONF. AFIN precedes number of UNCLASSIFIED AIR FORCE messages.
NAVY	Finished Intelligence	ONI	Yes	Yes	Short titles consist of letters "ONI" followed by 2 numbers indicating general subject category.
<p><u>REMARKS:</u> Subject categories (ONI 18 series = USSR, General) is followed by a dash and one or more numbers: ONI-26-11.</p>					
NAVY	Incoming and Outgoing messages	Commands	No	No	Identifying feature of a Naval message is the DATE/TIME/GROUP (DTG).
ARMY	AG ITEMS-- Manuals Bulletins	Adjutant General's Office	Yes	Yes	Numbered series (AR-310-1).
<p><u>REMARKS:</u> Intelligence items distributed by the AG includes the 30 series (Training Manuals), DAP's and Technical Bulletins (TB's) contain a cover serial number.</p>					
ARMY	Scientific and Technical Publications	Foreign Science and Technology Center (FSTC)	Yes	Yes	Series or publication numbers explained in Remarks.

REMARKS: Publication numbering system is explained in FSTC Regulation No. 310-5 as follows:

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 3

- 4 -

<u>AGENCY</u>	<u>TYPE OF REPORT</u>	<u>PROCESSING ELEMENT</u>	<u>CODED</u>	<u>SHORT TITLE</u>	<u>SERIAL NO.</u>
<u>REMARKS:</u>					
	FSTC	= Producing element			
	381	= Signifying military intelligence			
	4 digits	= Indicates series/subject area- 1001-1999 Communications and Electronics.			
	Subnumber	= Identifies the specific issue			
	Suffix A, E	= Assigned to supplements.			
ARMY	Incoming and Outgoing messages	Commands	No	No	The designation DA IN precedes the identify- ing number of the in- coming message and DA precedes the identi- fying number of the outgoing message in lower left corner.
CIA	Information Report	OCR/CIA	Yes	Yes	10 digit USIB Serial No.

REMARKS: CIA Series Description and numbering system prepared by OCR/DD/DCB 28 July 64 and CIA Information Reports, 13 Oct 64. First digit indicates the agency; the second the reporting component; the third indicates the report series; the fourth through the eighth digits indicate the report number; the ninth and tenth the year.

CIA	Finished Intelligence	OCR/ORR/ OCI/ONE and other pro- ducing elements	Yes	Yes	Unified numbering system abbreviation of category followed by year and serial.
-----	--------------------------	---	-----	-----	---

REMARKS: CIA Finished Intelligence reports are issued in six categories, i.e., Intelligence Brief, Intelligence Memorandum, Intelligence Report, Intelligence Study, Intelligence Research Aid, and Intelligence Information Handbook. Each identifying serial includes publisher, category, series, issue and date.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 3

- 5 -

<u>AGENCY</u>	<u>TYPE OF REPORT</u>	<u>PROCESSING ELEMENT</u>	<u>CODED</u>	<u>SHORT TITLE</u>	<u>SERIAL NO.</u>
STATE & USIA	"Published" & "Unpublished"	Internal Publications Control Officer, Ex- ternal Publi- cations Con- trol Officer	No	No	None.

REMARKS: Department of State Publications are classified into approximately 16 series plus 5 periodicals. All publications carry designation U.S. Department of State. Attribution to next lower level is optional. See Foreign Affairs Manual. Vol. 6-Gen. Services.

STATE & USIA	Telegrams, Air- grams, Circu- lars, Weeka	Various elements	No	No	Identifying one-up numbers sometimes preceded by a letter or word or both which designates a series; SECTO, POLTO, CIRCULAR, etc.
--------------------	---	---------------------	----	----	---

REMARKS: See State Department Records Classification Handbook, Communications and Records.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 4

ITEM IDENTIFICATION LISTS

This Table represents a selection of types of indexes, catalogs, bulletins and lists currently published by government organizations to aid in identifying and acquiring items. It is not intended to include all known item-list types, but only to compile examples showing a variety of types, purposes and formats.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

- 2 -

APPENDIX 4

ITEM IDENTIFICATION LISTS

DIA

TITLE/SHORT TITLE: Scientific & Technical Intelligence Register (U)
(STIR)

PUBLISHING ORGANIZATION/FREQUENCY: Management Operations Office
(DIAST-1), Directorate for Scientific and Technical Intelligence.
Published annually in June.

PURPOSE: To provide a listing of current scientific and technical
intelligence publications produced by DoD elements, supplemented by the
planned DIA scientific and technical publications.

ORGANIZATION OF ITEMS: STIR is organized on the matrix of the DIA
Scientific and Technical Intelligence Sub-Element Structure and is di-
vided into 22 corresponding sections, i.e., 01. Science and Technology,
02. Nuclear, 03. CBR, etc. Publication types include briefing summary,
catalogue, handbook, periodical, report, study, etc. Publications are
listed by service organizations, title, description, organization, type
of publication, date, pages and classification.

DIA

TITLE/SHORT TITLE: Production Center Intelligence Products Index (U)
AP-1-770-3-65-ADMIN

PUBLISHING ORGANIZATION/FREQUENCY: DIA Production Center (DIAAP-1).
Published quarterly.

PURPOSE: To provide a listing and brief description of the latest
issues of DIA Production Center in intelligence products that have been
assigned Production Center control numbers and publications that have
been transferred to the Production Center.

ORGANIZATION OF ITEMS: Listing and Brief Description of Production
Center Intelligence Products by Program area--200 military capabilities,
300 area.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 4

- 3 -

DIA

TITLE/SHORT TITLE: DoD Worldwide Intelligence Products Schedule Fiscal Year 1965 (U) AP-1-770-1-65-ADMIN

PUBLISHING ORGANIZATION/FREQUENCY: DIA Production Center DIAAP-1. Published annually (All-source supplement published).

PURPOSE: To provide a listing of DoD intelligence products scheduled for production in the ensuing fiscal year.

ORGANIZATION OF ITEMS: Items arranged by Series Number (210-Armed Forces capabilities), Producer, Area, 2nd country. FY66 volume arranged by series, by producer and by area/country.

DIA

TITLE/SHORT TITLE: Scheduled Requirements Reporting. Part Three (DIAM-58-2C)

PUBLISHING ORGANIZATION/FREQUENCY: Defense Intelligence Agency. Assistant Director for Acquisitions. Published as required.

PURPOSE: Lists all one-time and periodic requirements for information. Provides an easy reference to information required, when needed and the collector responsible for reporting.

ORGANIZATION OF ITEMS: Arranged alphabetically by countries. Each country divided into two sections--the first section lists one-time production requirements such as for NIS Sections and the second lists periodic reporting requirements. Pages divided into 4 columns - (1) Responsible Attache and Command (2) Requirement by DIRM (3) Production supported (4) Due date.

DIA

TITLE/SHORT TITLE: Document Listing Numerical. Document Listing Alphabetical

PUBLISHING ORGANIZATION/FREQUENCY: Defense Intelligence Agency, Dissemination Center.

PURPOSE: Provides the Dissemination Center with an internal control of intelligence publications disseminated.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 4

- 4 -

ORGANIZATION OF ITEMS: Documents are listed by title (alphabetical) and by print-out number and by agency. Print-out numbers are assigned by the Dissemination Center, the first two digits indicate the publishing agency and the remaining numbers are serial numbers assigned chronologically to each agency's publications upon receipt.

AIR FORCE

TITLE/SHORT TITLE: Acquisition List of USAF Defense Intelligence Information Reports and DoD/Non-DoD Finished Intelligence Documents (U) ACQ-200-64-35

PUBLISHING ORGANIZATION/FREQUENCY: Assistant Chief of Staff Intelligence, Dissemination Requirement and Research Branch. Published weekly.

PURPOSE: To reflect updated holdings by the ACS/Intelligence, USAF by listing DoD IR's and DoD and Non-DoD Finished Intelligence Reports.

ORGANIZATION OF ITEMS: List is divided into 38 major subjective divisions representing the ISC. Within each subjective category the following columns are included: (1) Report no. (2) Country code (3) SII no. (4) date (5) Subject/title (6) Attachment (7) Releasability (8) Security group classification (9) Security classification.

AIR FORCE

TITLE/SHORT TITLE: Accessions List Program (ALP)

PUBLISHING ORGANIZATION/FREQUENCY: Foreign Technology Division, Air Force Systems Command, Department of the Air Force.

PURPOSE: To list inputs of Central Information Reference and Control (CIRC), STEP and Translations.

ORGANIZATION OF ITEMS: Items are listed by programs, by subject areas-- Administrative, Nuclear Science, etc. Each entry contains author, title, source, accession number, reference no., translation no., classification, releasability, SIS cross reference no.

AIR FORCE

TITLE/SHORT TITLE: Index of Current Products (U) Task No. A89700 SECRET/NOFORN

PUBLISHING ORGANIZATION/FREQUENCY: Foreign Technology Division, Air Force Systems Command, Department of the Air Force. Published annually.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 4

- 5 -

PURPOSE: To provide authorized recipients a current listing of FTD products.

ORGANIZATION OF ITEMS: Contains: Part I - Current Publications and Part II - Noncurrent Publications. Items are listed by Studies, Reports, Handbooks, Briefing Summaries, which contain document no., classification, date, project no., and title.

AIR FORCE

TITLE/SHORT TITLE: A.T.D. Accession List

PUBLISHING ORGANIZATION/FREQUENCY: Aerospace Technology Division, Library of Congress. Published monthly.

PURPOSE: Provide USIB agencies with a current record of Soviet Bloc publications received by the Aerospace Technology Division and a current list of selected materials in the field of science and technology received by the Library of Congress.

ORGANIZATION OF ITEMS: The list consists of two parts: Part I, list of Air Force material received; and Part II, list of selected LC material in science and technology. Arrangement is by major subject field and alphabetically by author within each subject category.

AIR FORCE

TITLE/SHORT TITLE: Aerospace Technology Division Cumulative List 1960-64
1 Mar 65

PUBLISHING ORGANIZATION/FREQUENCY: Aerospace Technology Division, Library of Congress. Published as required.

PURPOSE: List of ATD numbered reports, prepared and distributed by the Aerospace Technology Division during the period from July 1960 to December 1964.

ORGANIZATION OF ITEMS: Index contains reports grouped into 27 general subject categories. Within these groups the reports are arranged in chronological order. Each entry consists of ATN number, title of report, brief description, subject number and AD number when assigned.

NAVY

TITLE/SHORT TITLE: Accession List of Technical Documents

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 4

- 6 -

PUBLISHING ORGANIZATION/FREQUENCY: Office of Naval Intelligence, Department of the Navy. Published semi-monthly.

PURPOSE: To advise Naval activities of technical intelligence documents of Naval interest which have been received in ONI from all sources.

ORGANIZATION OF ITEMS: Divided into SECRET, CONFIDENTIAL and Unclassified sections by subject. Format is accession card which includes intelligence subject code, subject, title of report, descriptive sentence, area, accession number, and classification.

NAVY

TITLE/SHORT TITLE: Catalog of LANTINTCEN Intelligence Material (U) (COLIM) SECRET/NOFORN [Fleet Intelligence Center Pacific, (FICPAC) and FICEUR have published Intelligence Project Catalogs.]

PUBLISHING ORGANIZATION/FREQUENCY: Atlantic Intelligence Center, Department of the Navy. Published as required.

PURPOSE: Lists all products published for distribution by the Atlantic Intelligence Center.

ORGANIZATION OF ITEMS: Contains a brief description of each item, classification, authorization, production status, and the applicable distribution list.

NAVY

TITLE/SHORT TITLE: Index of Current ONI Publications ONI-51-1K SECRET/NOFORN/SPECIAL HANDLING REQUIRED

PUBLISHING ORGANIZATION/FREQUENCY: Office of the Chief of Naval Operations, Office of Naval Intelligence, Department of the Navy. Published as required.

PURPOSE: To provide a list of current publications produced by the Office of Naval Intelligence and jointly by ONI-ACSI or U.S. Air Force.

ORGANIZATION OF ITEMS: ONI publications by type and producer. ONI intelligence publications by subject category, listing of intelligence manuals and instructions.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 4

- 7 -

NAVY

TITLE/SHORT TITLE: Special Intelligence Brief Index for the last six months of [1964] (SIS 65-)

PUBLISHING ORGANIZATION/FREQUENCY: Navy Department, Office of Chief of Naval Operations, Office of Naval Intelligence. Published as required.

PURPOSE: To provide an index of the articles promulgated in the CNO Special Intelligence Briefs (SIBO) during the last six months.

ORGANIZATION OF ITEMS: Arrangement is by country and within country by seven major categories which are divided into numerous sub-categories.

ARMY

TITLE/SHORT TITLE: Military Publications Department Pamphlet No. 310-4

PUBLISHING ORGANIZATION/FREQUENCY: Department of the Army Headquarters.

PURPOSE: Index of current publications pertaining to equipment of a technical or supply nature.

ORGANIZATION OF ITEMS: Arranged by sections (1) numbered lists of publications (2) list of publication titles (3) alphabetically arranged subject index list.

CIA

TITLE/SHORT TITLE: Union List of Intelligence Serial Publications

PUBLISHING ORGANIZATION/FREQUENCY: USIB/CODIB, Published in 1957 and revised in 1959. No further revision planned.

PURPOSE: To provide a complete list of all intelligence serial publications of foreign intelligence interest produced at the headquarters of USIB agencies and by selected Commonwealth countries. It is designed to serve as a reference guide for sources and check list.

ORGANIZATION OF ITEMS: Arrangement of entries is by source and alphabetically by title within sources and contains brief annotations when scope is not made clear by title. Each agency or source is assigned a letter designation and each title a number. Does not include reports from military services (attache type) or State messages, but does list CIA information Reports. Does not incorporate studies prepared by overseas commands nor most of those prepared under contract.

CIA

TITLE/SHORT TITLE: Intelligence Publications Index (IPI)

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 4

- 8 -

PUBLISHING ORGANIZATION/FREQUENCY: Office of Central Reference, CIA. Published monthly except last month in each six month period. Semi-annual cumulation includes the last month entries which are indicated by an asterisk.

PURPOSE: To provide an index to selected intelligence periodicals and monographs disseminated by USIB agencies and British Commonwealth Countries received by OCR.

ORGANIZATION OF ITEMS: List of periodicals indexed, a classed subject index with area subdivisions, an area index with broad-classed subdivisions, a bibliography of monographs by source and series.

CIA

TITLE/SHORT TITLE: Consolidated Translation Survey (CTS) Three listings - SECRET- NO FOREIGN DISSEM, CONFIDENTIAL and OFFICIAL USE ONLY

PUBLISHING ORGANIZATION/FREQUENCY: Office of Central Reference, Foreign Documents Division. Published monthly.

PURPOSE: To provide a compilation of foreign documentary projects completed or started during the preceding month prepared from lists received through cooperation of USIB and other sources.

ORGANIZATION OF ITEMS: Translations are listed by area or broad subject category. Scientific projects are grouped as a section regardless of geographic area. Title in English, author, security classification, foreign language title of source of material, date of publication and publication identification of the completed project are given when available. Unclassified listing includes index to authors of items in the issue. Instructions for requesting items are included.

NPIC

TITLE/SHORT TITLE: Index to Photographic Intelligence Reports
NPIC/R-0000/65 SECRET/NOFORN Photographic Intelligence Listing

PUBLISHING ORGANIZATION/FREQUENCY: National Photographic Interpretation Center (NPIC). Published quarterly.

PURPOSE: Lists Photographic intelligence reports produced or received by NPIC for the use of properly cleared components of the USIB.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 4

- 9 -

ORGANIZATION OF ITEMS: Column headings include subject, originator, type of report, report or control no., report date, mission no., coordinates, country, security classification and accession no. Three parts: Listing of Reports Alphabetically, Listing of Reports by Originator, Listing of Reports by General Subject.

STATE

TITLE/SHORT TITLE: Selected Publications, Department of State

PUBLISHING ORGANIZATION/FREQUENCY: Department of State. Published quarterly and cumulatively.

PURPOSE: To provide a reference list of State Department publications.

ORGANIZATION OF ITEMS: Publications are arranged alphabetically by subject and title with a brief description of contents of publication.

STATE

TITLE/SHORT TITLE: Film List

PUBLISHING ORGANIZATION/FREQUENCY: Office of Media Services, Bureau of Public Affairs. Published irregularly.

PURPOSE: To inform organizations concerned with foreign affairs of the availability of a variety of short films available for orientations, etc.

ORGANIZATION OF ITEMS: By category, i.e., General Foreign Policy, Foreign Aid and International Development and by Geographic Area, i.e., Western Europe followed by title of film, film size, and running time.

USIA

TITLE/SHORT TITLE: Checklist of Reports Date (LOU)

PUBLISHING ORGANIZATION/FREQUENCY: Research and Reference Service, U. S. Information Agency. Published monthly.

PURPOSE: List of reports currently available from USIA.

ORGANIZATION OF ITEMS: Items listed by report number, title, date and classification.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 4

- 10 -

NASA

TITLE/SHORT TITLE: Scientific and Technical Aerospace Reports (STAR)

PUBLISHING ORGANIZATION/FREQUENCY: Scientific and Technical Information Division, NASA. Published semi-monthly.

PURPOSE: A comprehensive abstracting and indexing journal covering worldwide report literature on the science and technology of space and aeronautics.

ORGANIZATION OF ITEMS: Section I is arranged by subject categories. Section II consists of five indexes - subject, corporate source, author, report/accession number and accession/report number.

DEFENSE SUPPLY AGENCY

TITLE/SHORT TITLE: Technical Abstract Bulletin (TAB), TAB Indexes Bimonthly

PUBLISHING ORGANIZATION/FREQUENCY: Defense Documentation Center, Defense Supply Agency.

PURPOSE: To announce the availability of research development, test and evaluation documents acquired by DDC.

ORGANIZATION OF ITEMS: Reports are grouped by 33 subject divisions in two sections. 1st., Unlimited Document Section, contains reports upon which no distribution restrictions have been placed. 2nd., Limited Document Section, contains reports for which distribution is restricted. Each abstract contains a list of descriptors. The TAB Indexes contain four indexes - corporate author, monitoring agency-subject, personal author and contract.

COMMERCE

TITLE/SHORT TITLE: Technical Translations (U)

PUBLISHING ORGANIZATION/FREQUENCY: Clearinghouse for Federal Scientific and Technical Information. Published semi-monthly.

PURPOSE: To announce the availability and provide order information for translated scientific and technical reports, periodicals and books.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 4

- 11 -

ORGANIZATION OF ITEMS: Contains 5 sections: bibliographic citations, book reviews, translations in progress, translated periodicals, and index.

COMMERCE OTS/JPRS

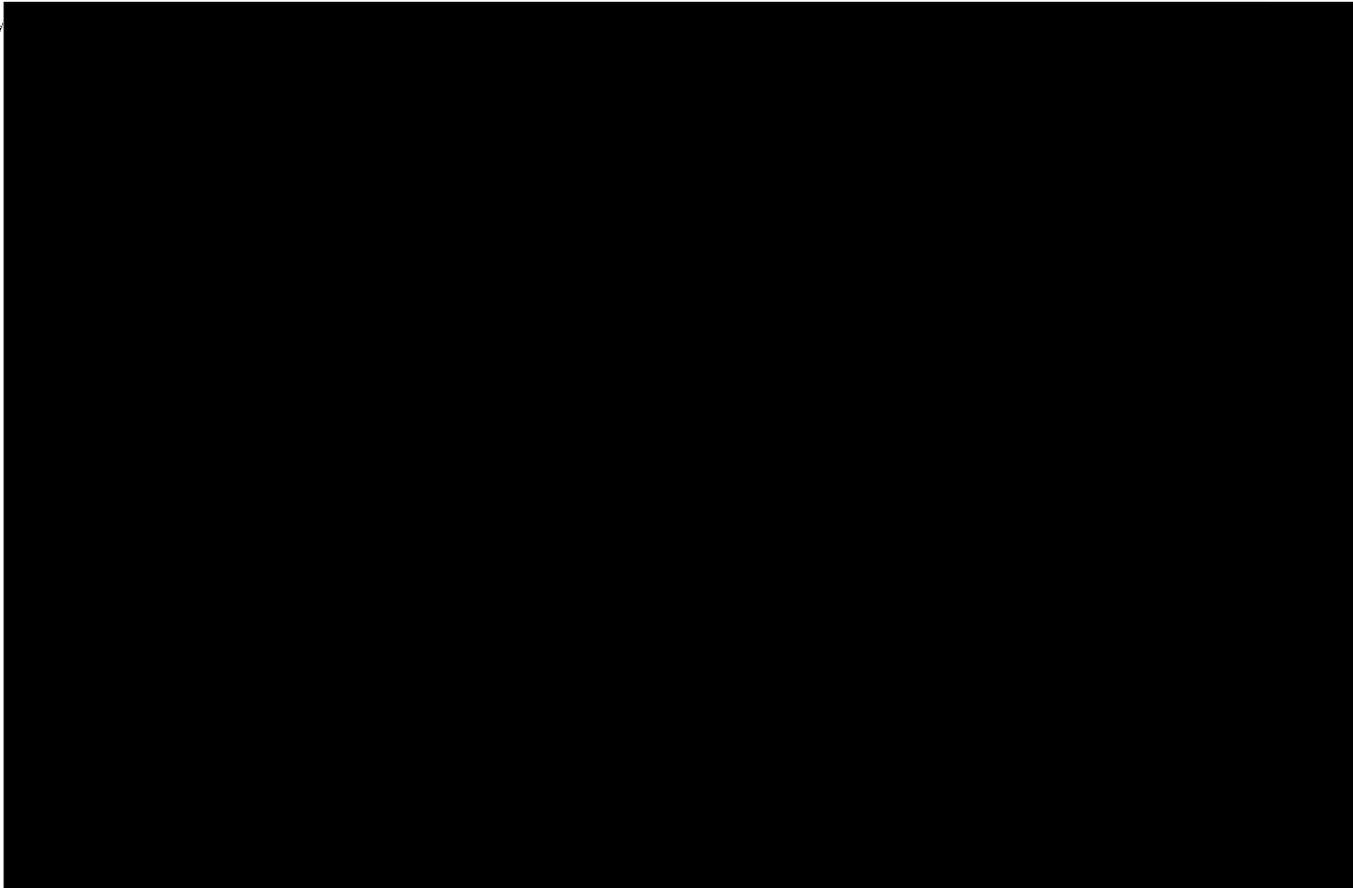
TITLE/SHORT TITLE: Catalog of Current Joint Publications Research Service Publications

PUBLISHING ORGANIZATION/FREQUENCY: U. S. Department of Commerce, Office of Technical Service, Joint Publications Research Service. Published as required.

PURPOSE: Lists JPRS translations and abstracts or research reports available for government workers and private industry.

ORGANIZATION OF ITEMS: Items are listed by category and within category by title, price included. Includes information on how to obtain subscriptions.

25X1A



SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 5

SAMPLE PAGES OF AN ITEM REGISTER LIST

This appendix consists of an illustrative section of an authoritative item list, showing the fields, the suggested methods of representation, and some examples of remarks. No attempt has been made to represent all originating organizations, classifications, categories or frequencies. The first table presents thirteen items as they might appear on an item list and is preceded by tables which give the meaning for codes or abbreviations used in the item list. The numbers entered under "Ref #" are intended to show what unique reference numbers might look like. The numbers themselves are purely arbitrary, for illustrative purposes only.

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 5

CODE TABLES FOR USE WITH ITEM REGISTER

Category - Classes

- 10 - Substantive Items
- 11 - Textual Collection Products
- 12 - Technical Collection Products
- 13 - Technical Processing Products
- 14 - Studies & Intelligence Reports
- 15 - Estimates & Projections
- 20 - Substantive Support Items
- 21 - Research & Reference Aids
- 22 - Requests & Requirement Aids
- 23 - Management & Processing Aids
- 30 - Non-Substantive Items

Category - Modifiers

- C - Current Intelligence Items
- D - Domestic Subjects
- F - Foreign Publications or Derivatives Thereof
- L - Collations
- X - Counterintelligence Items

Frequency

- D - Daily
- F - Five Times a Week
- W - Weekly
- B - Every Two Weeks
- C - Semi-Monthly
- M - Monthly
- T - Three Times a Year
- Q - Quarterly
- S - Semi-Annually
- Y - Yearly
- Z - Every Two Years
- A - As Required
- O - One Time
- X - Other, Specify in Remarks

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 5

- 3 -

Status

- A - Active
 - X - Inactive
- If X Specify Inclusive Dates of Publication in Remarks

Classification Range

- U - Unclassified
- C - Confidential
- S - Secret
- T - Top Secret
- Y - SSO Controlled
- R - SAO Controlled
- X - Other, Specify in Remarks

Dissemination Controls

- N - No Foreign Dissem
- E - No Foreign Dissem Except...Specify in Remarks
- C - Controlled Dissem
- D - No Dissem Abroad
- B - Background Use Only
- O - Official Use Only
- W - Warning Notice - Sensitive Sources and Methods Involved
- U - Unspecified
- X - Other, Specify in Remarks

Form

- H - Hard Copy
- F - Microfilm
- C - Punched Card
- P - Paper Tape
- M - Magnetic Tape
- G - Photos, Maps & Charts
- X - Other, Specify in Remarks

Remarks, Tags Appearing In

- T - Title Classification, Other
- F - Frequency, Other
- S - Inactive Status, Specify Inclusive Dates of Publication
- C - Classification Range, Other
- D - Dissemination Control, Other
- P - Form, Other

SECRET/NOFORN/CONTROLLED DISSEM

25X1A

Approved For Release 2002/01/15 : CIA-RDP80B01139A000300020010-8

Next 2 Page(s) In Document Exempt

Approved For Release 2002/01/15 : CIA-RDP80B01139A000300020010-8

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 6

SUGGESTED INPUT CARD FORMAT

This appendix consists of a suggested layout form for the input cards for the Item Register System, and is based on the elements discussed in Section III. A. and the codes and methods of representation given in Appendix 5. The form is illustrative only, since it would need revision during the detailed system design period. The fields are laid out as they might appear on the input cards, not as they would appear on tape.

SECRET/NOFORN/CONTROLLED DISSEM

SECRET/NOFORN/CONTROLLED DISSEM

APPENDIX 6

Card #	Unique Reference Number (2-6)	Item Title, Including Title Classification (7-53)	Short Title, Series or Form Designation (54-75)				(76) Frequency	Form(s) in which pro- duced (77-80)	
Card #	Unique Reference Number (2-6)	Producing Organization			Classifi- cation Range (17-20)	Dissem- ination Controls (21-24)	Item Status (26-30)	Item Category	Remarks
	(7-10)	Agency	Maj. Com- ponent (11-15)	Producing Element (16-23)				If X appears in Title Classification (T), Classification Range (C), Dissem- ination Controls (D), Frequency (F), or Item Status (S) enter T, C, D, F or (31-80)	
Card #	Unique Reference Number (2-6)	S to indicate associated field(s) and specify meaning(s) of X.							
Card #	Unique Reference Number (2-6)	Remarks (Continued)							